



# Applying for a Virginia Public Waterworks Construction Permit

## Guidelines and Application Form

Effective August 1, 2007



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**STOP!** If you are planning to construct or purchase a Virginia waterworks for which you do not already have a valid Waterworks Operation Permit, refer to the Office of Drinking Water guidance manual “Applying for a Virginia Public Waterworks Operation Permit.” This document can be obtained from the Field Office for your region, or by download at [www.vdh.virginia.gov/drinkingwater](http://www.vdh.virginia.gov/drinkingwater).

## Introduction

Owning and operating a public waterworks is a tremendous responsibility. In order to ensure that all public waterworks owners are aware of the seriousness and importance of their duties and obligations, the *Code of Virginia* has formalized the process for obtaining a waterworks construction permit.

A construction permit, issued by the Virginia Department of Health Office of Drinking Water (ODW) is required if you are planning to construct or change the water sources, treatment, storage, or distribution system of an existing Virginia waterworks for which you already have a valid waterworks Operation Permit.

ODW has prepared this guide to assist you with the five-step process for obtaining a permit. The five steps include

- Step 1. submitting a **Waterworks Permit Application Form**
- Step 2. participating in a **Preliminary Engineering Conference** (PEC)
- Step 3. developing a **Waterworks Business Operations Plan**
- Step 4. submitting a **Preliminary Engineering Report** (PER), and
- Step 5. submitting **Plans and Specifications** to obtain a Waterworks Construction Permit.

You can also receive assistance with any stage of the application process by contacting the ODW Field Office serving your region. **You should contact the Field Office to determine which parts of the application process will apply to your situation.**

Submitting this application fulfills Step 1 of the five-part application process.

## Frequently Asked Questions

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### What is my first step toward obtaining a waterworks construction permit?

Begin by contacting the ODW Field Office in your region. ODW staff will determine which parts of the five-step application process apply to your situation. Then, complete and submit the Permit Application Form on Page 7 of this manual. In addition, you need to contact your local planning and zoning offices to obtain any local permits.

### Is there a fee for ODW to process my permit application?

No.

### Will I need professional services?

You probably will need engineering, surveying, legal, and accounting services. Before you incur costs for these services, you should contact or schedule a visit with the ODW Field Office in your region. ODW staff will discuss the proposed construction with you, and will provide you with information that will be helpful in your decision-making process.

### Am I required to submit a Waterworks Business Operations Plan?

Normally, those owners demonstrating a history of compliance will not be required to complete this step of the permit application process for modifying or expanding an existing waterworks for which they already have a valid waterworks Operation Permit. However, owners may be required to develop a Waterworks Business Operations Plan if the proposed construction has been required by ODW to address compliance issues or in response to enforcement proceedings, such as a consent or administrative order.

Waterworks that have applied to ODW financial and construction assistance programs may also be required to complete and submit a Waterworks Business Operations Plan.

Every waterworks can profit from thoughtful business planning, even if a Waterworks Business Operations Plan is not required to obtain a construction permit. Developing a business plan will help you understand the waterworks' infrastructure assets, evaluate staffing needs, establish an effective budget, and assist with long-range planning. A sound business plan will improve the technical, managerial, and financial capacity of your facility. For more information on developing a plan, you can obtain a copy of the ODW publication "Guidelines for Completing a Waterworks Business Operations Plan" from the ODW Field Office, or by downloading a copy at [www.vdh.virginia.gov/drinkingwater](http://www.vdh.virginia.gov/drinkingwater).

### Other Permits and Approvals

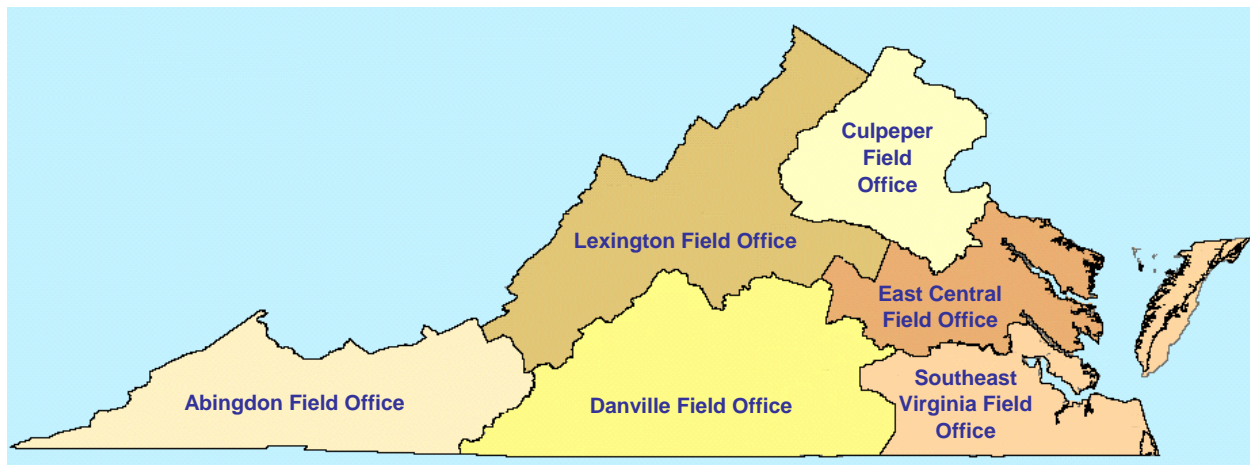
Separate applications or approvals are often required by local governments to authorize zoning, and by other state agencies. In particular, you may need to obtain a permit from the Virginia Department of Environmental Quality (DEQ) for withdrawal of source water or for discharging water treatment waste.

If the proposed construction will enable your waterworks to expand service to 50 or more customers (connections), you must apply to the State Corporation Commission (SCC) for a certificate of public convenience and necessity. You should contact the SCC's Division of Energy Regulation at (804) 371-9611 as early as possible in your planning process.

Contact the ODW Field Office for your region for more information on additional permits you may need.

## Field Office Locations

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ODW Field Offices	Service to...
<b>Abingdon Field Office</b> 454 East Main Street Abingdon, VA 24210  Phone (276) 676-5650 Fax (276) 676-5659	The counties of Bland, Buchanan, Carroll, Dickenson, Floyd, Giles, Grayson, Lee, Montgomery, Pulaski, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe, and the cities of Bristol, Galax, Norton, and Radford
<b>Lexington Field Office</b> 131 Walker Street Lexington, VA 24450  Phone (540) 463-7136 Fax (540) 463-3892	The counties of Albemarle, Alleghany, Augusta, Bath, Botetourt, Clarke, Craig, Fluvanna, Frederick, Greene, Highland, Louisa, Nelson, Page, Roanoke, Rockbridge, Rockingham, Shenandoah, and Warren, and the cities of Buena Vista, Charlottesville, Covington, Harrisonburg, Lexington, Roanoke, Salem, Staunton, Waynesboro, and Winchester
<b>Southeast Virginia Field Office</b> 830 Southampton Avenue Norfolk, VA 23510  Phone (757) 683-2000 Fax (757) 683-2007	The counties of Accomack, Dinwiddie, Greensville, Isle of Wight, James City, Northampton, Prince George, Southampton, Surry, Sussex, and York, and the cities of Chesapeake, Colonial Heights, Emporia, Franklin, Hampton, Hopewell, Newport News, Norfolk, Petersburg, Poquoson, Portsmouth, Suffolk, Virginia Beach, and Williamsburg
<b>East Central Field Office</b> 300 Turner Road Richmond, VA 23225  Phone (804) 674-2880 Fax (804) 674-2815	The counties of Charles City, Chesterfield, Essex, Gloucester, Goochland, Hanover, Henrico, King and Queen, King William, Lancaster, Mathews, Middlesex, New Kent, Northumberland, Powhatan, Richmond, and Westmoreland, and the city of Richmond
<b>Danville Field Office</b> 1347 Piney Forest Road Danville, VA 24540  Phone (434) 836-8416 Fax (434) 836-8424	The counties of Amelia, Amherst, Appomattox, Bedford, Buckingham, Brunswick, Campbell, Charlotte, Cumberland, Franklin, Halifax, Henry, Lunenburg, Mecklenburg, Nottoway, Patrick, Pittsylvania, and Prince Edward, and the cities of Bedford, Danville, Lynchburg, Martinsville, and South Boston
<b>Culpeper Field Office</b> 400 South Main Street Culpeper, VA 22701  Phone (540) 829-7340 Fax (540) 829-7337	The counties of Arlington, Caroline, Culpeper, Fairfax, Fauquier, King George, Loudoun, Madison, Orange, Prince William, Rappahannock, Spotsylvania, and Stafford, and the cities of Alexandria, Fairfax, Falls Church, Fredericksburg, Manassas, and Manassas Park

## Application Process Overview

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The five-step application process builds upon each previous step, and allows a smooth progression to the issuance of permits to construct, modify, or operate a waterworks. The five steps that build a complete application are:

### STEP 1 - Permit Application Form

This step is submitted to ODW before any other action. The form must be filed by any person desiring to construct, modify, or operate a waterworks, and it initiates the entire application process. It is required by Virginia statute. The Permit Application Form is on [Page 6](#).

### STEP 2 - Preliminary Engineering Conference (PEC)

For constructing a new waterworks, or expansion of an existing waterworks, the PEC is a feasibility discussion that establishes the project's direction and scope. The PEC dialog is also invaluable for prospective owners who intend to purchase an existing waterworks. The conference provides for an exchange of information between all parties, during which the envisioned construction project or purchase will be discussed in its entirety. The discussion can reveal potential problems with anticipated waterworks design or operation.

For new construction, any potential design exceptions to the Virginia *Waterworks Regulations* should be proposed at this step. Design exceptions, whether approved or not, can impact development of the materials for other steps of the application process.

The discussion will also focus on the owner's ongoing responsibilities and regulatory requirements, which will help determine if the project or purchase is feasible. At this stage, preliminary review of a draft business plan may be useful. The need to obtain permits and authorizations from other state agencies, such as those needed from DEQ for water withdrawal permits, should be discussed during the PEC.

### STEP 3 - Waterworks Business Operations Plan

If required, Waterworks Business Operations Plans are normally submitted in completed form along with the Preliminary Engineering Report (PER). Business plans should be prepared by a certified public accountant or professional engineer. With prior approval by ODW, the business plan may be prepared by a competent individual with considerable knowledge of the waterworks.

For more information on developing a business plan, see the ODW publication "Guidelines for Completing a Waterworks Business Operations Plan." Copies are available from the ODW Field Office, or by downloading a copy at [www.vdh.virginia.gov/drinkingwater](http://www.vdh.virginia.gov/drinkingwater).

### STEP 4 - Preliminary Engineering Report (PER)

This detailed report must be prepared by a professional engineer licensed in Virginia for any new construction or modification of an existing waterworks. Some PER items may overlap with items in the Waterworks Business Operations Plan, which is why we recommend that these parts be submitted together. The PER should be submitted to the ODW Field Office in your region for approval **before** plans and specifications are developed. Consulting engineers should refer to §§12 VAC 5-590-200 and 640 of the Virginia *Waterworks Regulations* for technical submission requirements and content. All requests for design exceptions must be approved by VDH before proceeding to the next step.

## STEP 5 - Final plans and specifications

These construction documents are prepared by a professional engineer licensed in Virginia. Refer to the *Waterworks Regulations* for submission requirements.

The chart below illustrates the major milestones in the application process for building or purchasing a waterworks. Each action requires concurrence and approval from ODW before proceeding to the next step. Use this chart to track the progress of your application. Some items may not be needed for every waterworks, and this checklist does not cover applications or approvals required by local governments or other state agencies. These authorizations may include permits for withdrawal of source water or for discharging water treatment waste. Approvals are also required by the State Corporation Commission for waterworks that will serve 50 or more customers (connections).

	Action Step	Performed or attended by...	Date Completed
Planning	1. Submit Permit Application Form	Owner	
	2. Attend Preliminary Engineering Conference(PEC)	Owner, ODW staff, consulting engineer	
	3. Source site inspection	Owner, ODW staff, appropriate consultant (professional engineer, well driller, etc.), representatives from other state or local governmental agencies as needed	
	4. Tentative source site approval (in writing to owner)	ODW staff, representatives from other state or local governmental agencies as needed	
	5. Business plan submittal	Owner, appropriate consultant (professional engineer or certified public accountant, or ODW-approved preparer)	
	6. Preliminary Engineer's Report (PER) submittal	Professional engineer	
	7. Plans and specification, design criteria submittal	Professional engineer	
	8. Recorded plat	Surveyor	
	9. Recorded dedication document	Owner	
	10. Cross connection and backflow prevention program	Owner	
	11. Compliance sampling plans	Owner	
Construction	12. Construction permit issuance	ODW staff	
	13. Construction inspections and testing	Professional engineer	
	14. Source development sample collection	Owner or contractor	
	15. Operator employed	Owner	
	16. Statement of Completion submitted	Professional engineer	
	17. Final inspection	ODW staff, owner, professional engineer	
Long-term Operation	18. Operation permit issuance	ODW staff	
	19. Annual Permit fee payment	Owner	
	20. Ongoing compliance sample collection	Owner	
	21. Ongoing report submittal to VDH (business plan and monthly operating reports)	Owner	



Commonwealth of Virginia  
Department of Health Office of Drinking Water

**WATERWORKS PERMIT APPLICATION**

Instructions: This form can be completed online, or a blank form can be printed to complete manually. If completing online, print, sign, and date the form before mailing or faxing to the Office of Drinking Water Field Office in your region. Retain a copy of the completed form for your records.

**Permit type:** Construction: New ☐ Repair ☐ Modify ☐ Extend ☐  
Operation: ☐ (for ownership transfer of facilities already in existence)  
Previous owner: \_\_\_\_\_ Transfer date: \_\_\_\_\_

**Waterworks name** (if any): \_\_\_\_\_

State assigned **PWS Identification Number** (if any): \_\_\_\_\_

**City/County:** \_\_\_\_\_

**Water Source:** Surface water ☐ Name \_\_\_\_\_  
Groundwater: Well ☐ Spring ☐  
Purchased (from another public waterworks for resale) ☐  
Name of wholesaling waterworks: \_\_\_\_\_

Proposed **number of connections** and type (residential, commercial, institutional): \_\_\_\_\_

**Description of proposed work** (for new construction): \_\_\_\_\_

I am associated, directly or indirectly, with the following waterworks in Virginia (name and PWS ID): \_\_\_\_\_

I am aware of needed local government approvals including zoning: YES ☐ NO ☐

I am aware that permits may be needed for water withdrawal or waste discharge permits: YES ☐ NO ☐

I have contacted the State Corporation Commission (community waterworks serving 50+ connections): YES ☐ NO ☐

Please schedule a Conference for the \_\_\_\_\_ week of \_\_\_\_\_, 20\_\_\_\_.

Applicant Name (legal owner): \_\_\_\_\_ Position/Title/Office: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

I hereby certify that by signing and submitting this application to the Virginia Department of Health the subject water system is or shall become a waterworks as defined by § 12 VAC 5-590-10 of the Virginia *Waterworks Regulations*, and as the waterworks owner I shall comply with the Virginia *Waterworks Regulations*.

\_\_\_\_\_  
Applicant Signature

\_\_\_\_\_  
Date